User Guide

Limit Order Xervices Web Frontend

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1. Preface

iLOX is a web-based application for trading securities of the issuer Commerzbank and Deutsche Bank X-Markets.
iLOX allows over the counter (OTC) trading with limit orders against the issuers via the internet plus the administration of L.O.X.-orders. Based on a secure internet connection, a trader can send an order as a limit order against the issuers.

2. System requirements for iLOX

In order to use iLOX, the user needs internet access and one of the following web browsers:
- Microsoft® Internet Explorer® 6.x, 7.x or 8.x (http://www.microsoft.com/)
- Mozilla® Firefox® 3.x or higher (http://www.mozilla-europe.org/de/)
- Opera® 10.xx or higher (http://www.opera.com/)

The German language and the (U.S.) English-language versions of the browsers are supported.

3. Prerequisites for iLOX

Another prerequisite for the use of iLOX is following user-specific data. This data is provided on the basis of a validated FAX application:
- Client certificate in electronic form, delivery is by email
- Password for the client certificate is sent to the user by mail.
- User data for iLOX is sent also by mail.

4. Legal Disclaimers

All product names, trademarks and registered trademarks used in this document are owned by their respective owners. Microsoft® Internet Explorer® is a product name and registered trademark of Microsoft Corporation USA and other countries. Mozilla® Firefox® is a product name and registered trademark of the Mozilla Foundation, USA.
Opera® is a product name and registered trademark of Opera Software USA.

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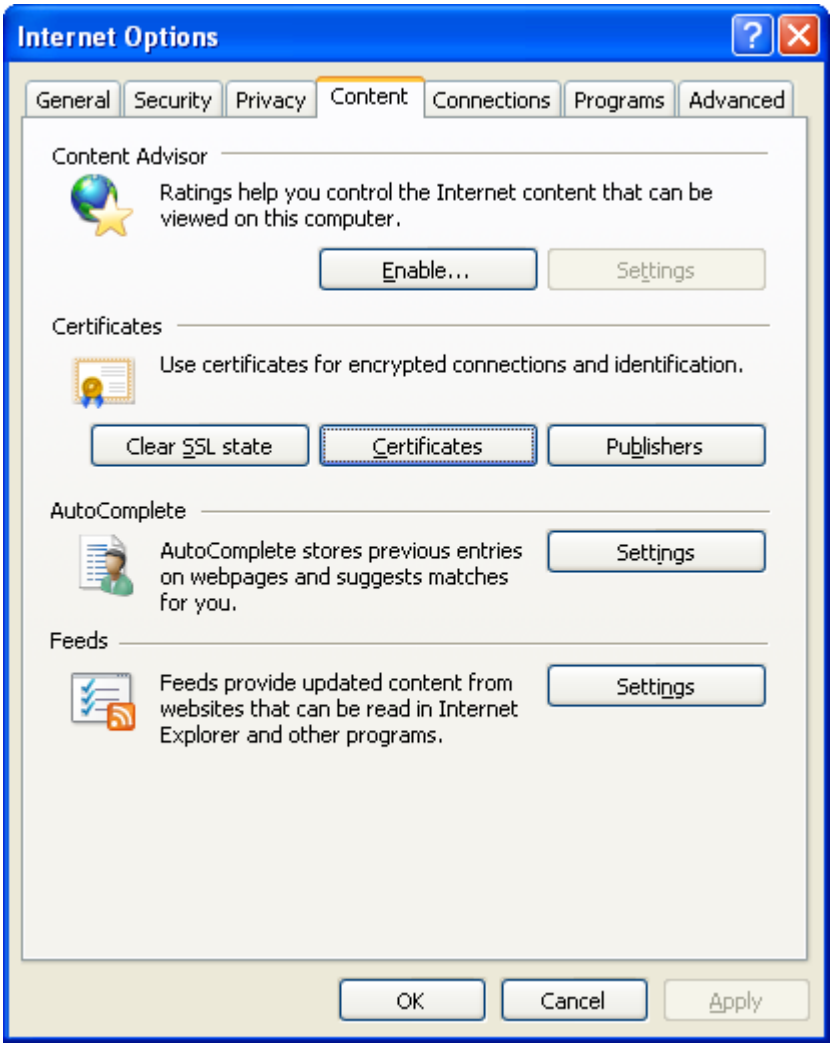
5. Installing Client Certificate

5.1. Internet Explorer®

Example using Internet Explorer® 8:

1. Copy your client certificate to the location where you want to save the file, e.g. C:\Documents and Settings\username\My Documents\My Received Files or double click on the attached certificate within the email.
2. Open the browser
3. Click on the menu bar and select menu item *Tools* -> *Internet Options*
4. Click on the tab *Content*
5. Click on the button *Certificates*



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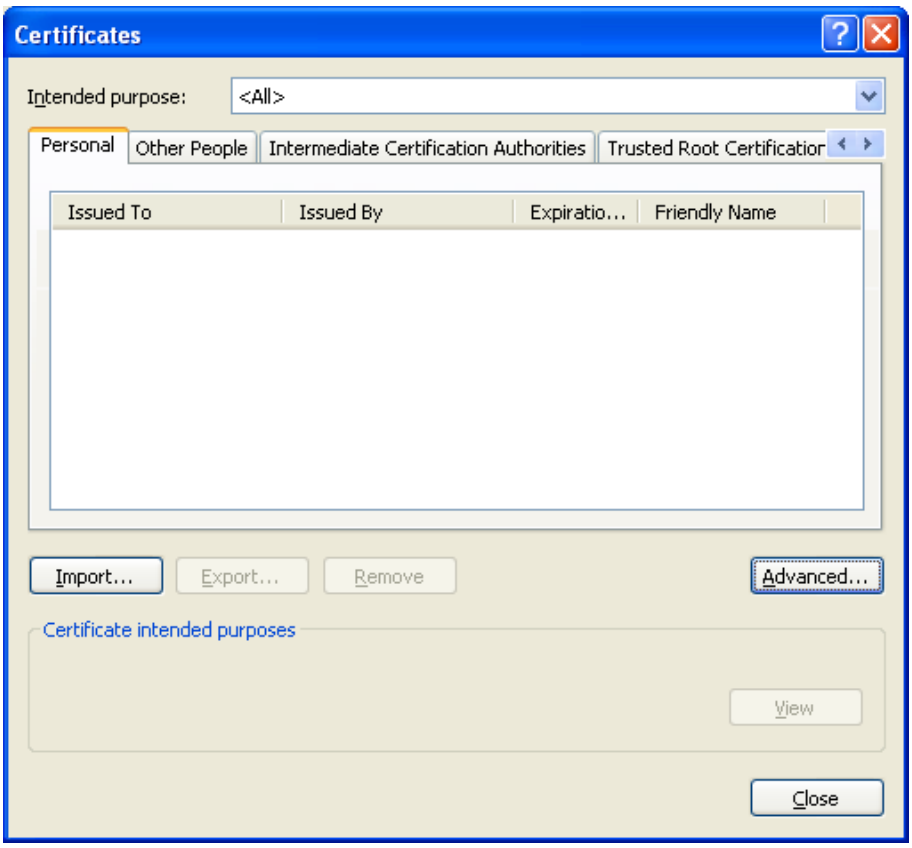
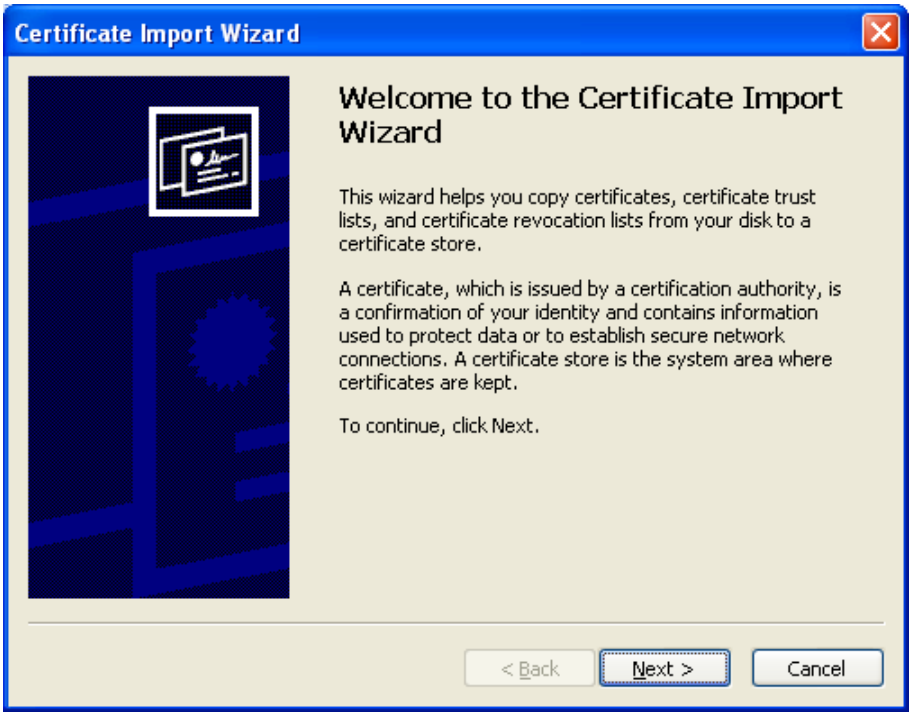
6. Click on the tab *Personal*
7. Click on *Import*



8. This will start the *Certificate Import Wizard*.


Certificate Import Wizard
Welcome to the Certificate Import Wizard
This wizard helps you copy certificates, certificate trust lists, and certificate revocation lists from your disk to a certificate store.
A certificate, which is issued by a certification authority, is a confirmation of your identity and contains information used to protect data or to establish secure network connections. A certificate store is the system area where certificates are kept.
To continue, click Next.
< Back
Next >
Cancel

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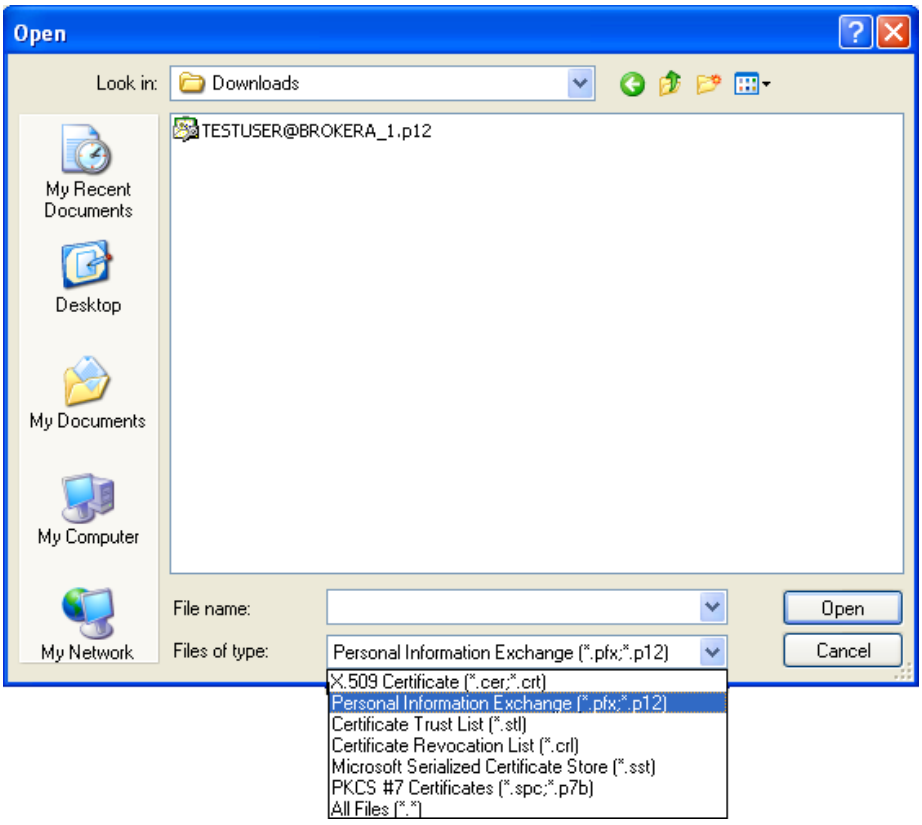
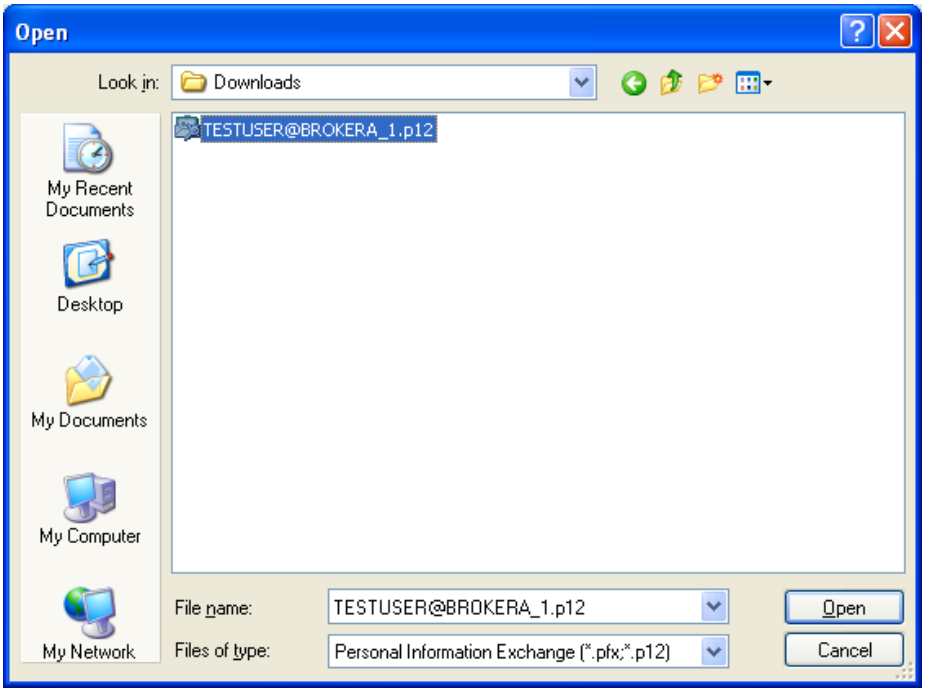
9. Click *Next.*
10. Click on *Browse...*
11. In the window *Open* select the file type *Personal Information Exchange (*.pfx, *. p12)* and the file name which you saved in point 1.





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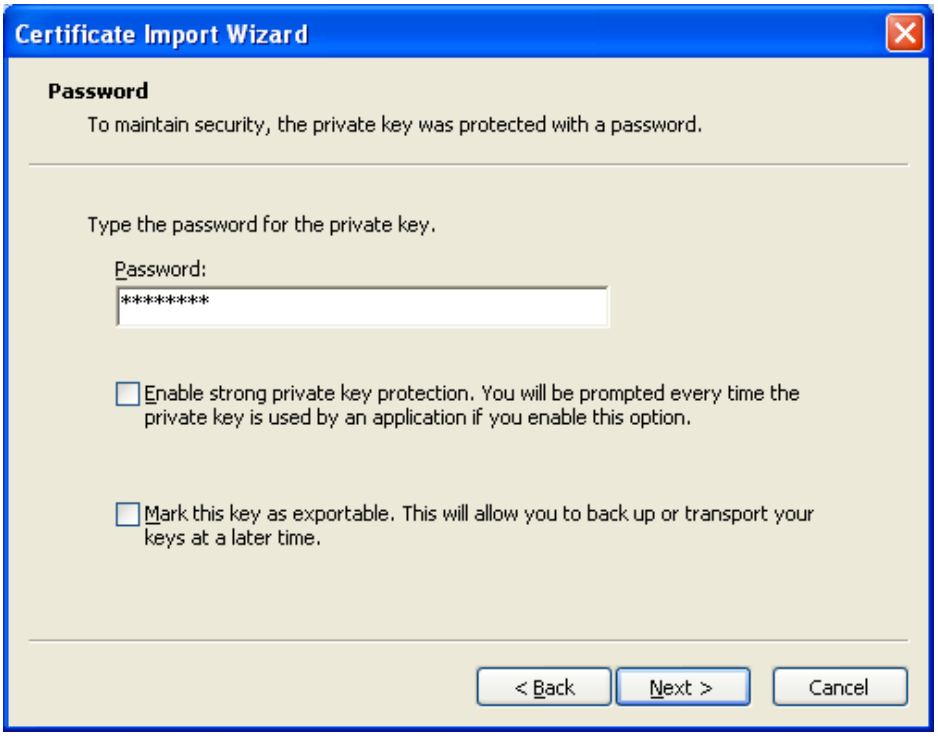
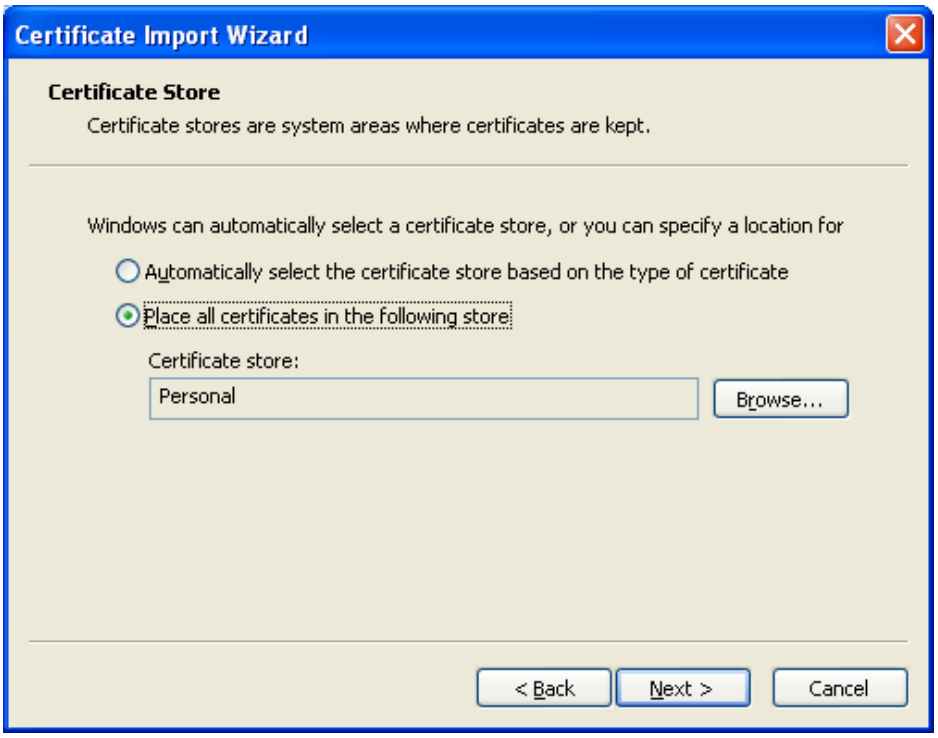
12. Click on *Open*.
13. Click on *Next*.
14. You will be prompted to enter a password. Please enter the password of the client certificate that you received by mail. The client certificate password must only be entered once to import the client certificate. Then click on *Next*.


Certificate Import Wizard
Password
To maintain security, the private key was protected with a password.
Type the password for the private key.
Password:
****
Enable strong private key protection. You will be prompted every time the private key is used by an application if you enable this option.
Mark this key as exportable. This will allow you to back up or transport your keys at a later time.
< Back
Next >
Cancel


Certificate Import Wizard
Certificate Store
Certificate stores are system areas where certificates are kept.
Windows can automatically select a certificate store, or you can specify a location for
Automatically select the certificate store based on the type of certificate
Place all certificates in the following store
Certificate store:
Personal
Browse...
< Back
Next >
Cancel

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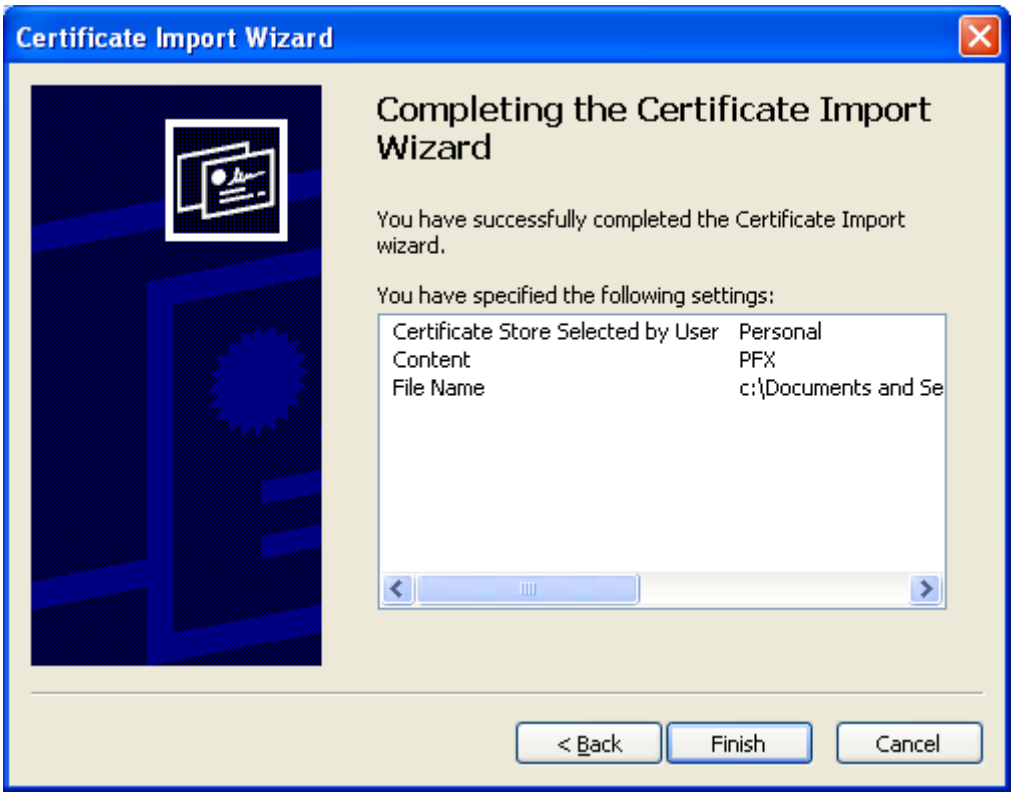
15. Click on *Next*.



16. Click on *Finish*.
17. Click *OK* to complete the import process.

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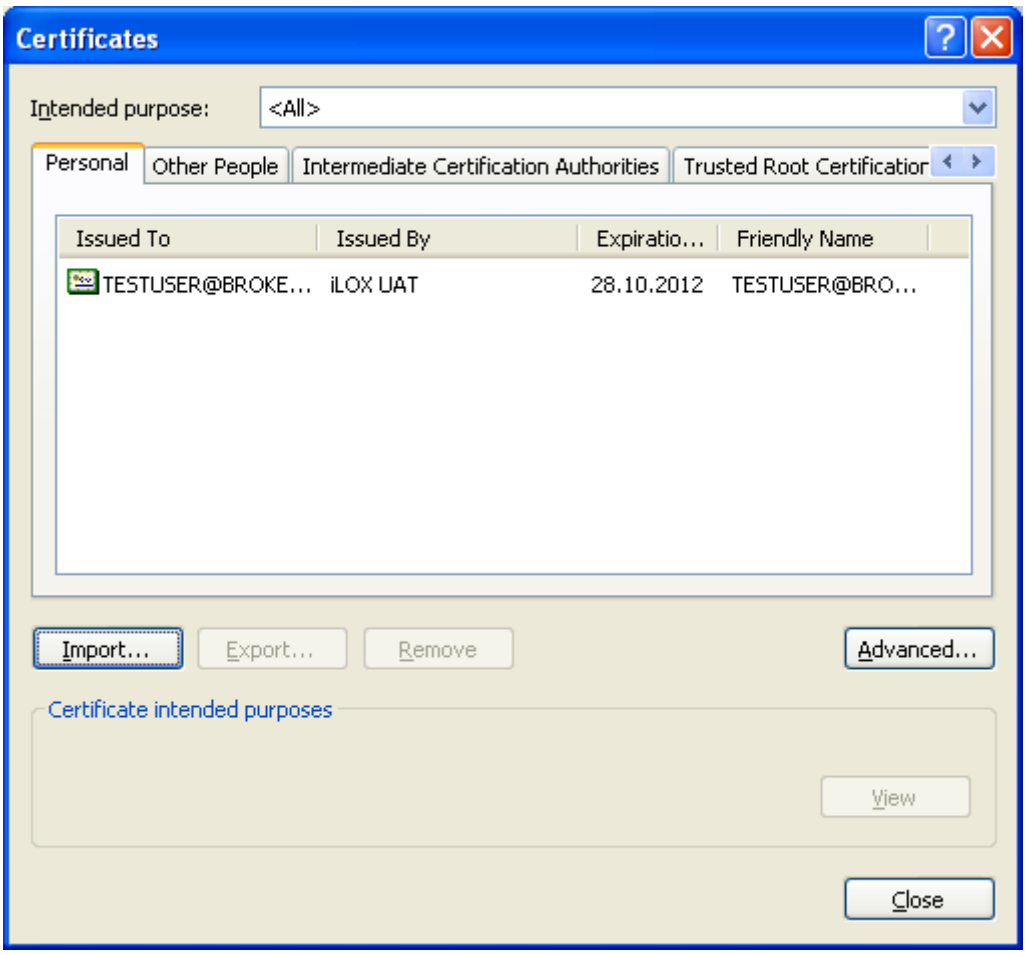
18. The imported certificate appears in the window *Certificates*.
    Click on *Close*.



19. In the window *Internet Options* please click on *OK* as well.
    The import of the client certificate is completed successfully.

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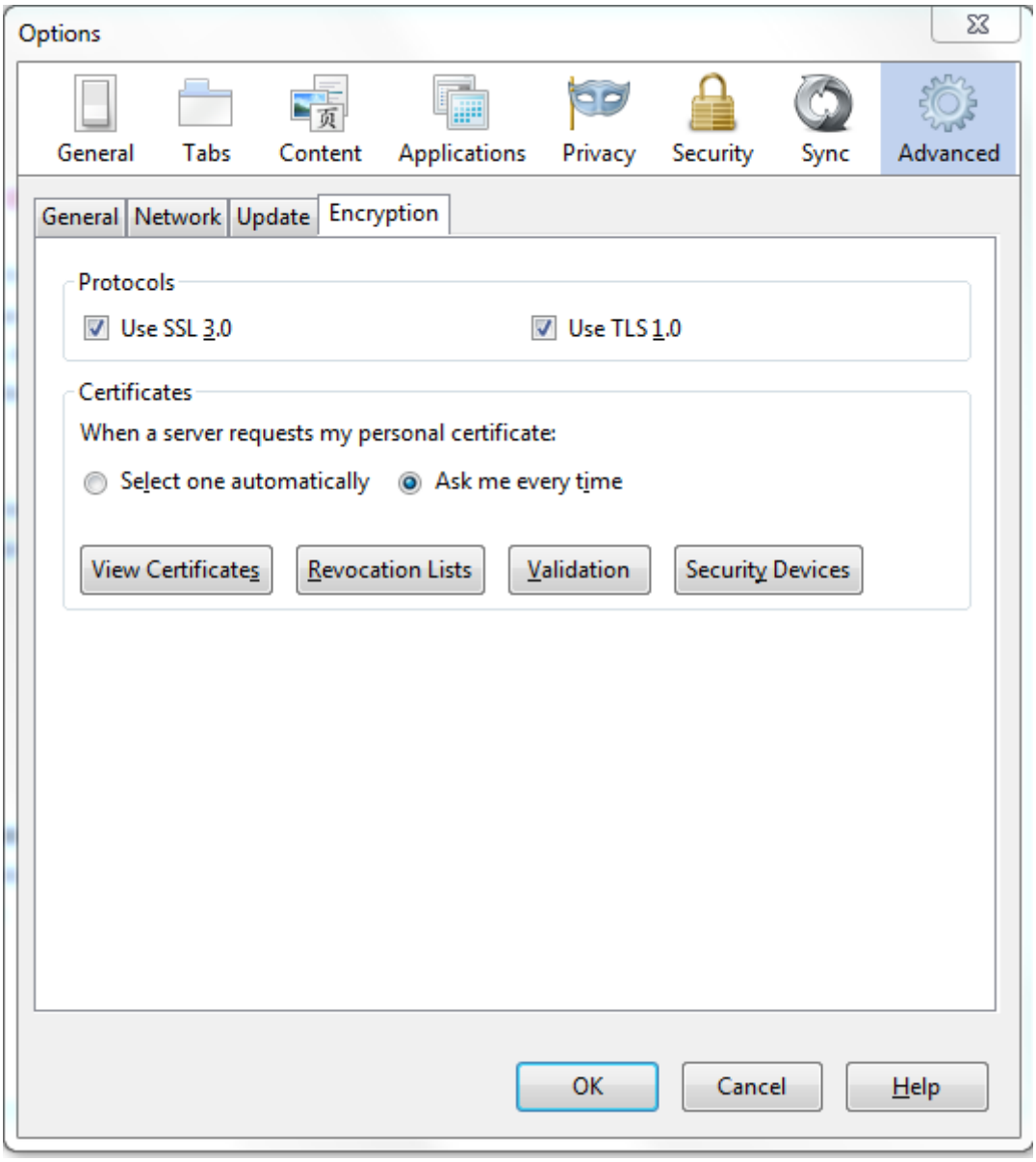
5.2. Mozilla® Firefox®

Example using Mozilla® Firefox® 12:

1. Copy your client certificate to the location where you want to save the file, e.g. C:\Documents and Settings\username\My Documents\My Received Files.
2. Open the the browser
3. Click on the Mozilla® menu bar and select menu item *Options* -> *Options*
4. Click on the tab *Advanced*
5. Select the *Encryption* tab



6. Click on *View Certificates*

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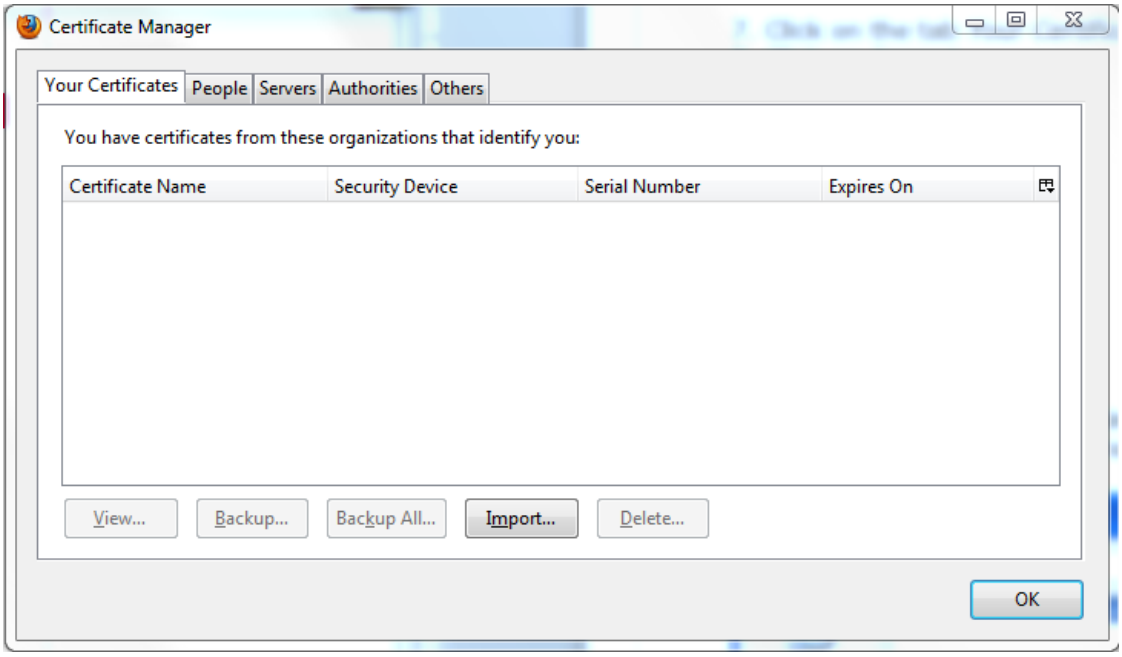
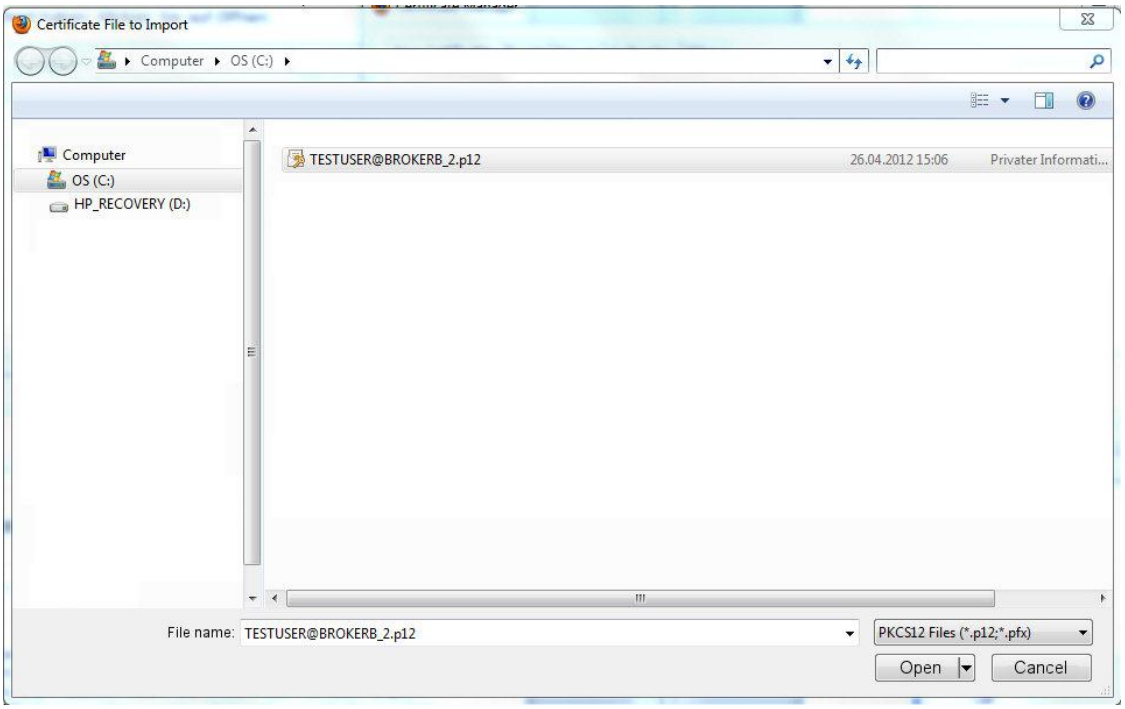
7. Click on the tab *Your Certificates*
8. Click on *Import…*



9. Select in the window *File Name to Restore* the data type *PKCS 12 files* and the file name, which you have saved in point 1. Click on *Open*.



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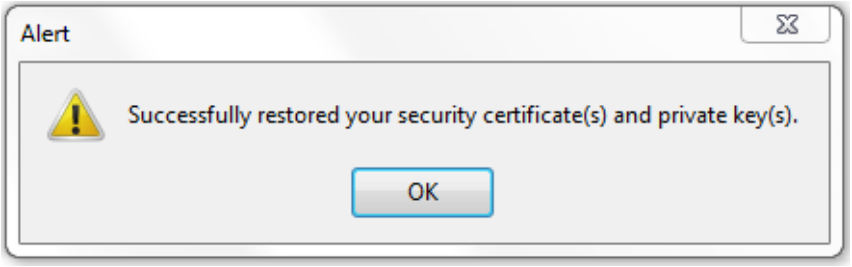
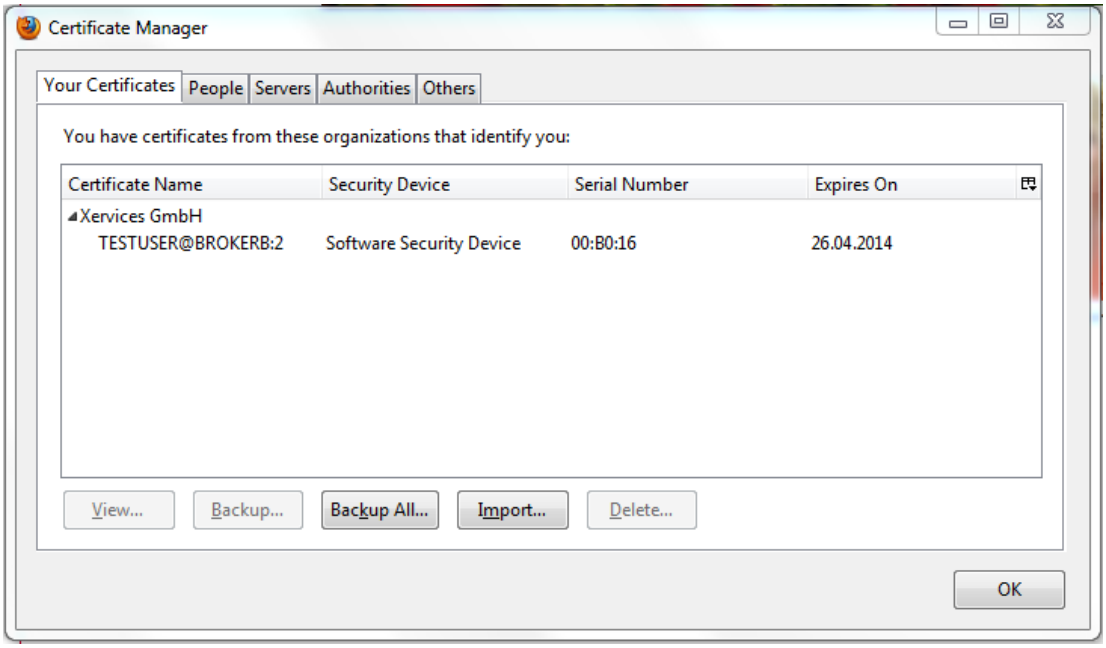
10. You will be prompted to type in a password. Enter the password of the client certificate you received by mail. The client certificate password must be entered only once to import the client certificate. Then click *OK*.

11. You will be informed about the successful import of the certificate. Afterwards click *OK*.



12. The imported certificate will be shown in the window *Certificate Manager*. Click on *OK*.



13. In the window *Options* click on *OK*. The import of the client certificate will then be completed successfully.

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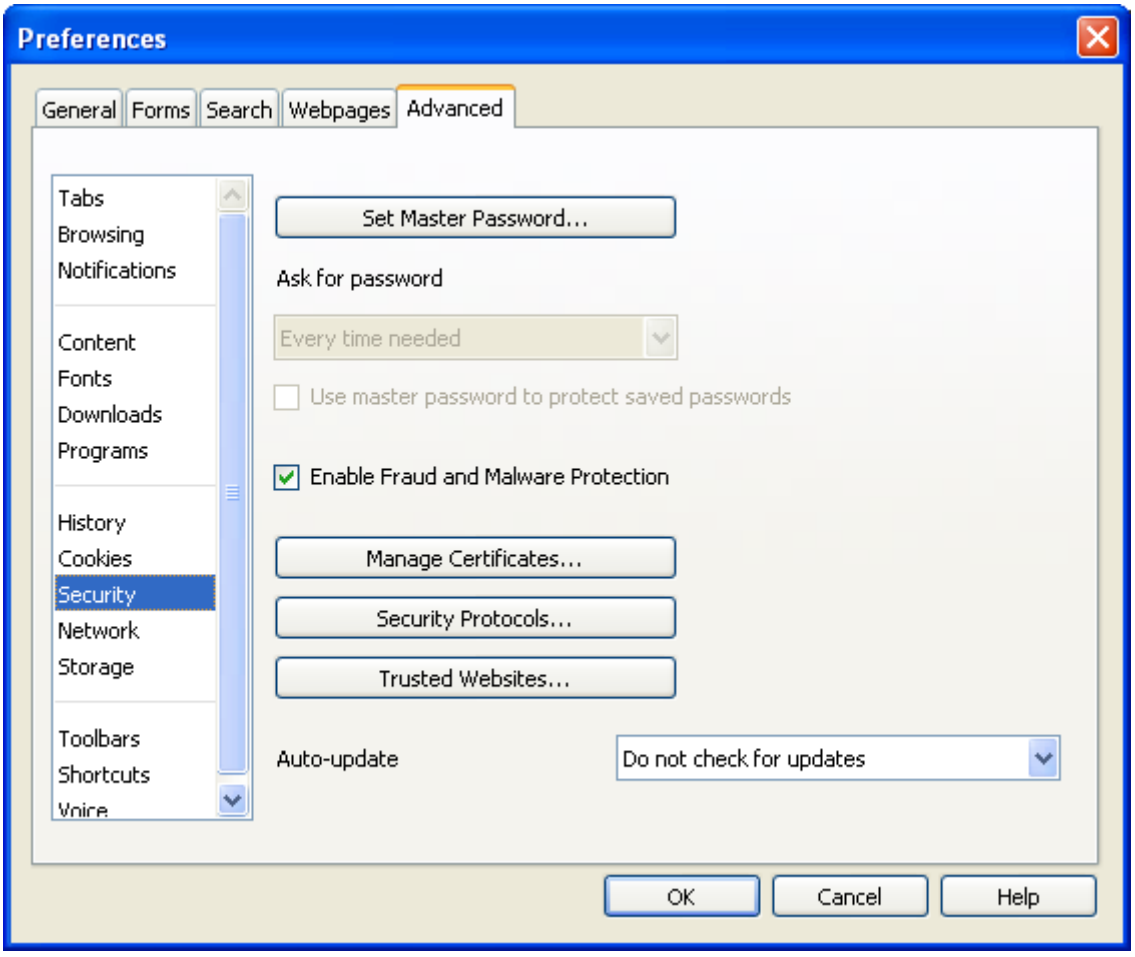
5.3. Opera®

Example using Opera® 10:

1. Copy your client certificate to the location where you want to save the file, e.g. C:\Documents and Settings\username\My Documents\My Received Files.
2. Open the browser.
3. Click on the Opera® menu bar and select the menu item *Settings -> Preferences.*



4. Click on the tab *Advanced.*
5. Chose *Security* in the navigation menu
6. Click on *Manage Certificates…*

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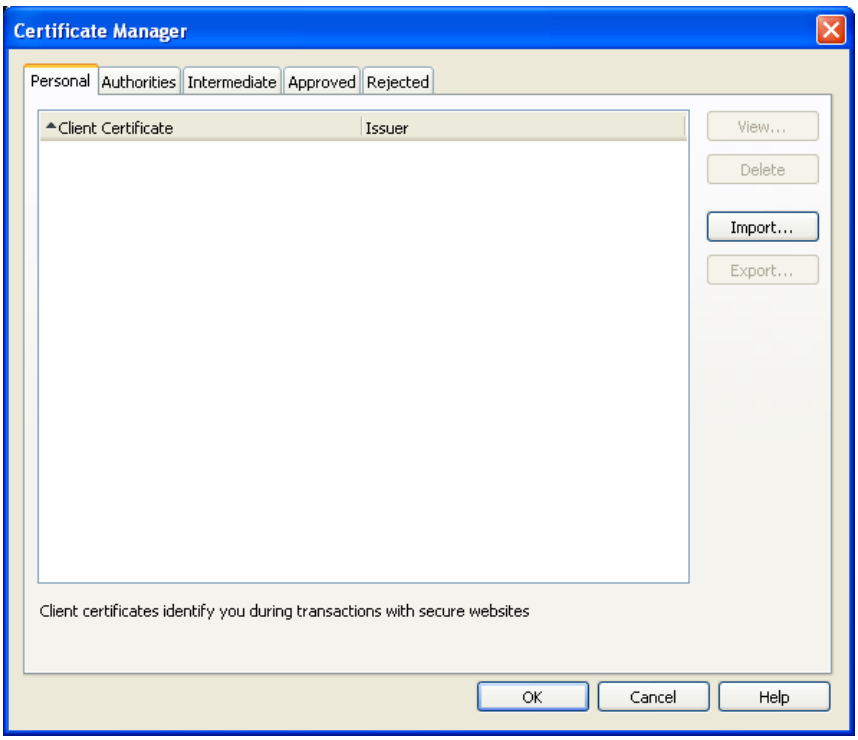
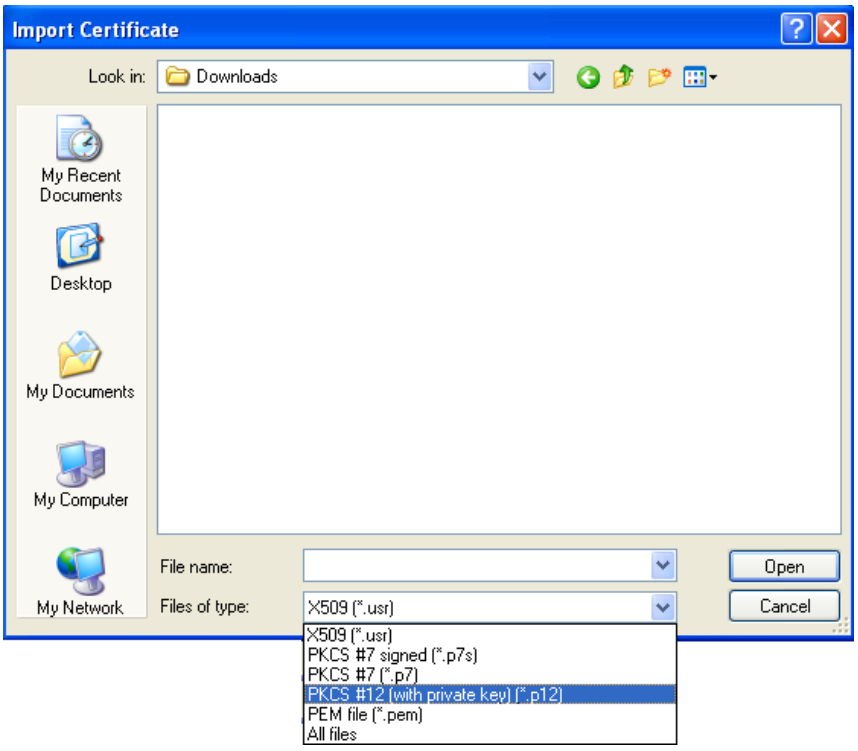
7. Click on the tab *Personal*
8. Click on *Import…*



9. In the window *Import Certificate* select the file type *PKCS # 12 (with private key) (*. p12)* as well as the file that was saved in point 1



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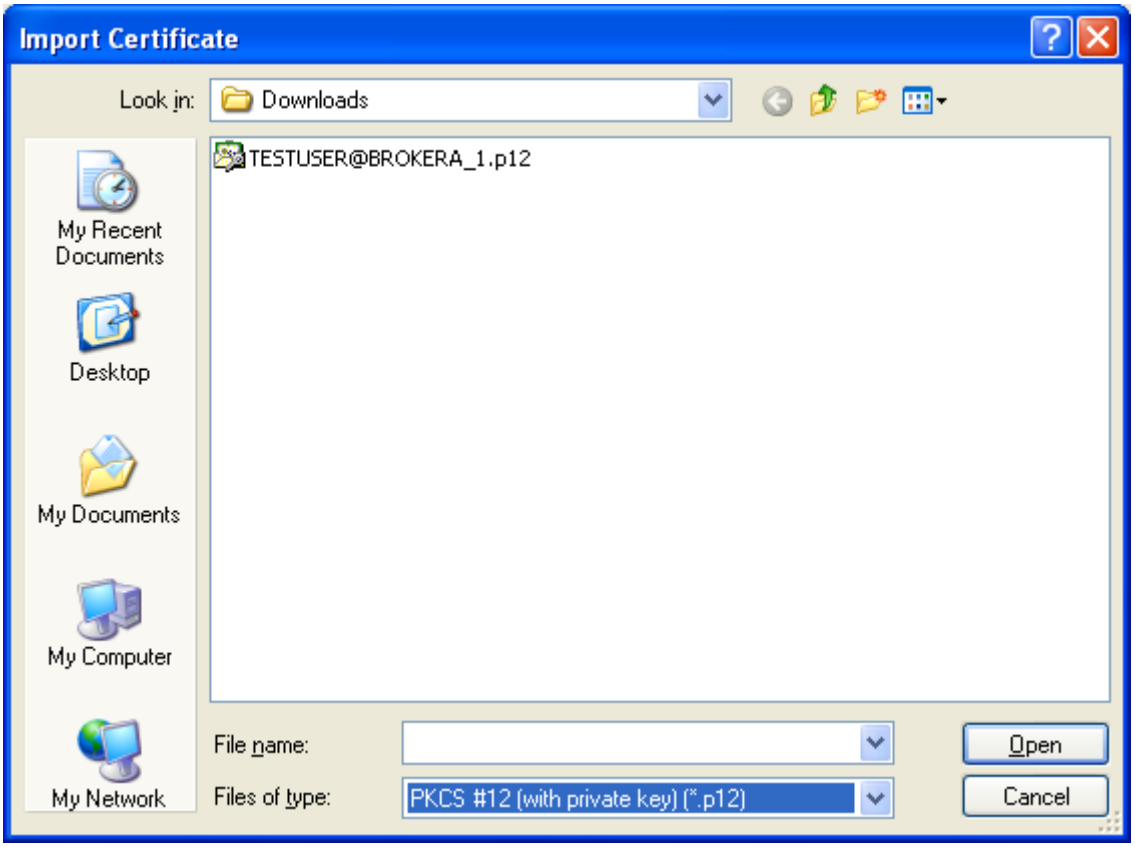

10. You will be prompted to enter a password. Enter your password of the client certificate that you have received by mail. The client certificate password must only be entered once to import the client certificate. Then click *OK*.

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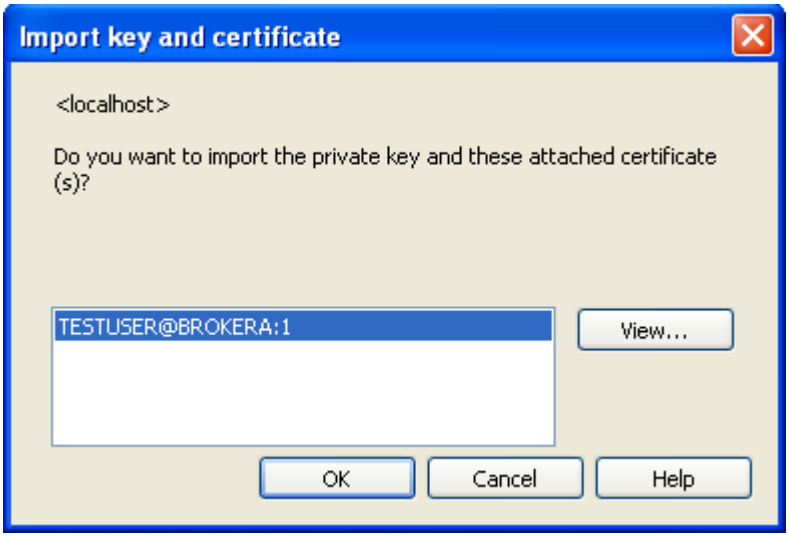
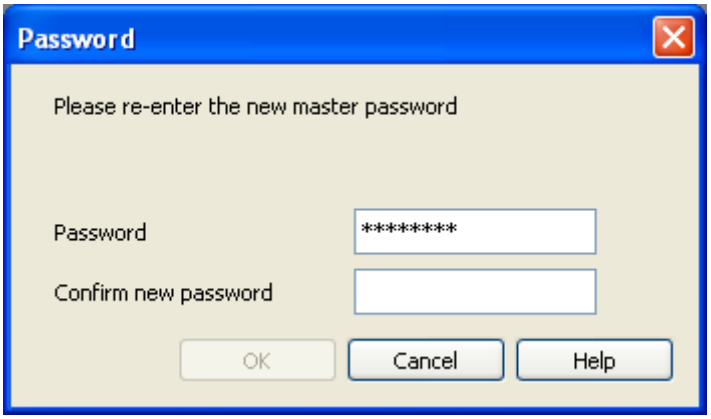


11. You will be prompted to enter a master password. This password must be assigned at the first import of a user certificate and is used by Opera® in order to secure the access to your certificate. Please enter a secure password and approve with OK.



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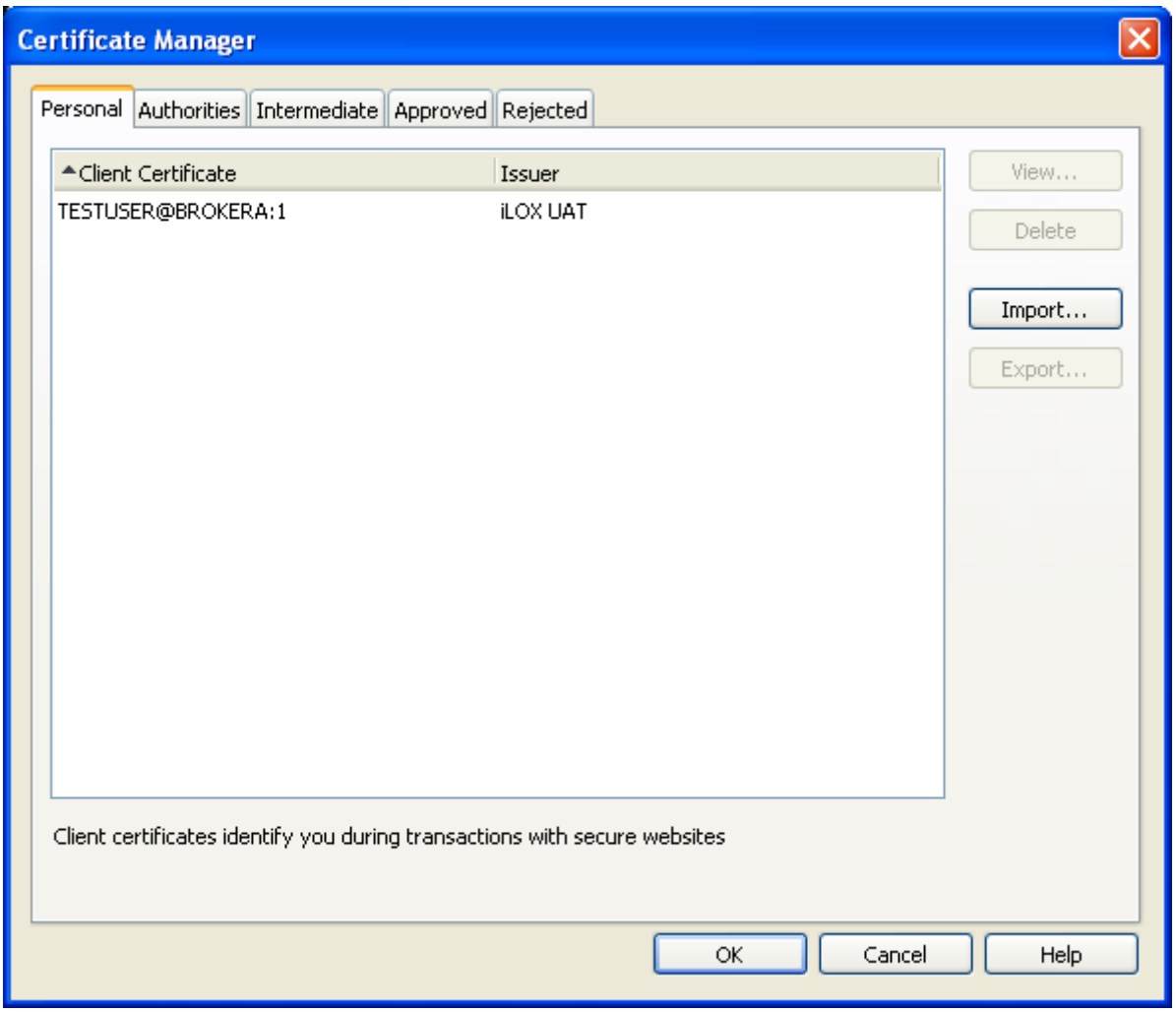
12. The imported certificate will be shown in the Certificate Manager. Click on *OK*.



13. Please click on *OK* in the window Settings as well. The import of the client certificate will then be completed successfully.

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6. First Logon

After the first Logon to the iLOX Web Frontend your initial password should be changed. In order to create a new password please obey the following restrictions:

1. The new password must be at least 8 characters long.
2. Name, first name or login name must not be included in a password.
3. It must consist of a combination of capital letters, lower case letters, digits and "allowed" special characters.
4. Allowable special characters are; ! "# $% & '() * +` -,. /:; <=>? @ [\] ^ _ `(|) ~
5. It is not allowed to reuse one of the last 12 passwords.

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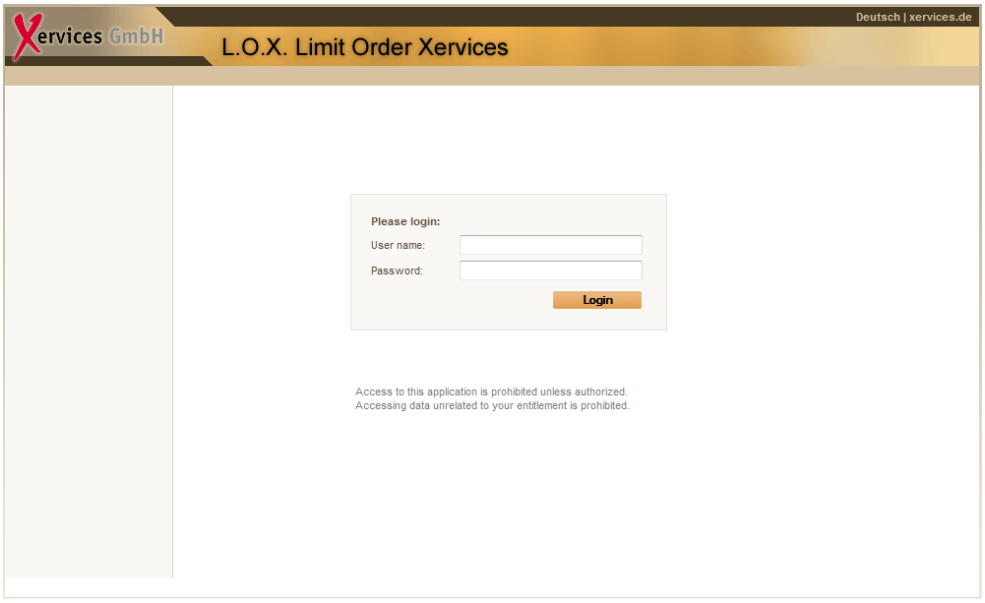
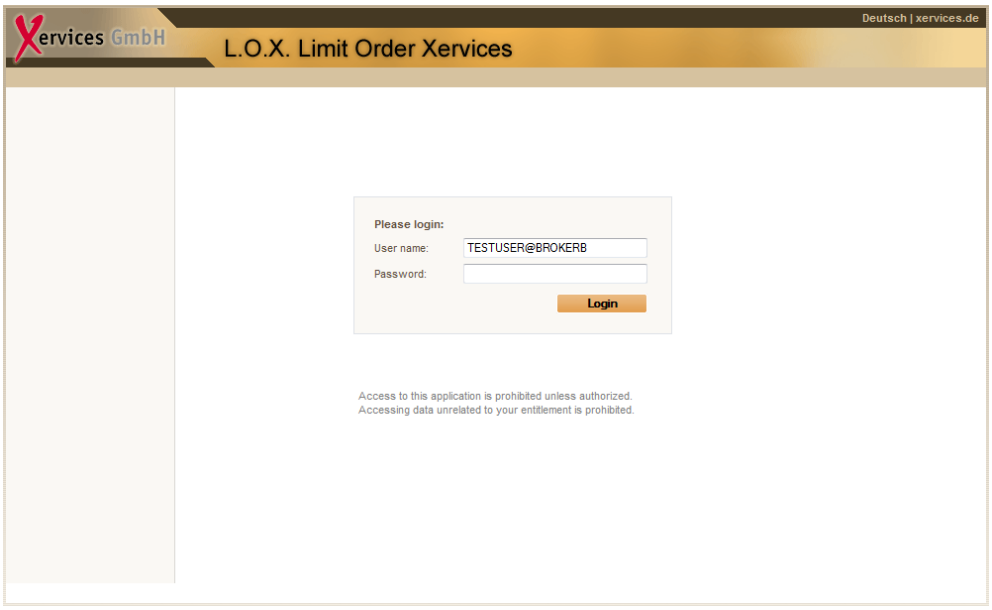
7. Login to iLOX Web Frontend

In order to log on to iLOX Web-Frontend you need a Logon User name and Logon Password. Your Logon details are sent to you by mail.

1. Please open the following homepage:
   https://ilox.xervices.de/



2. Please enter your user name in the corresponding username field.
   For example: TESTUSER@BROKERB



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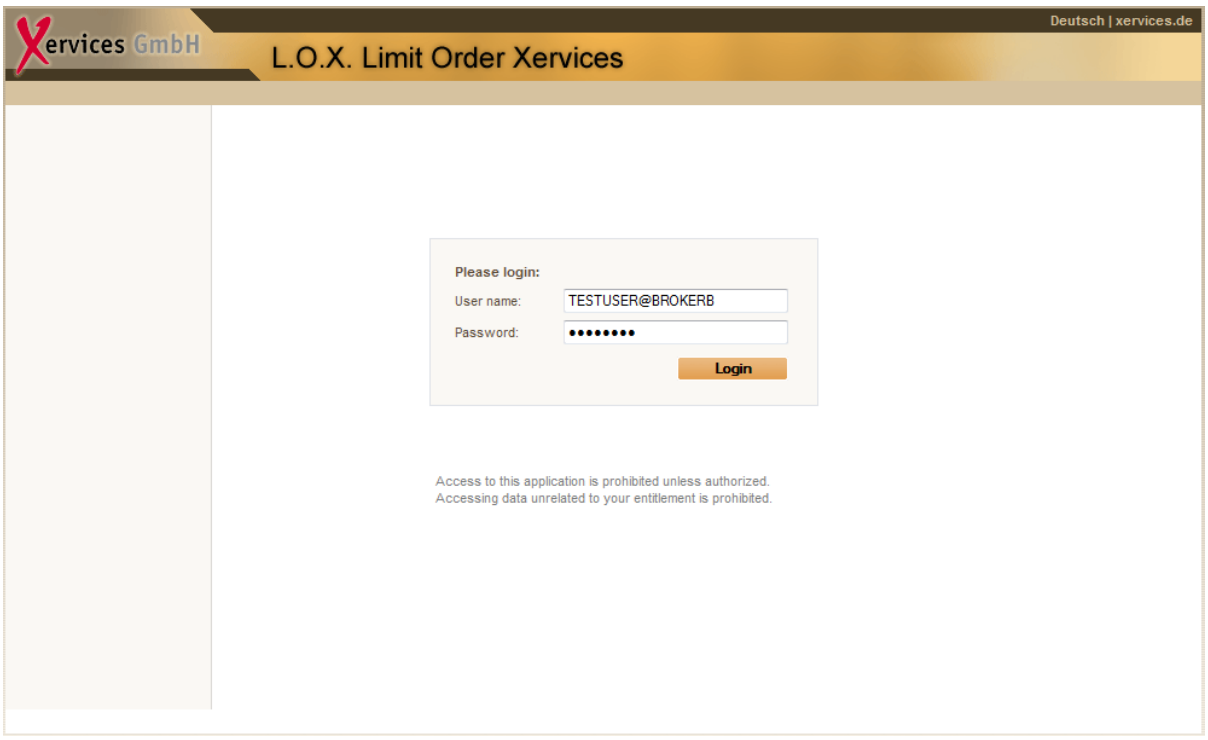
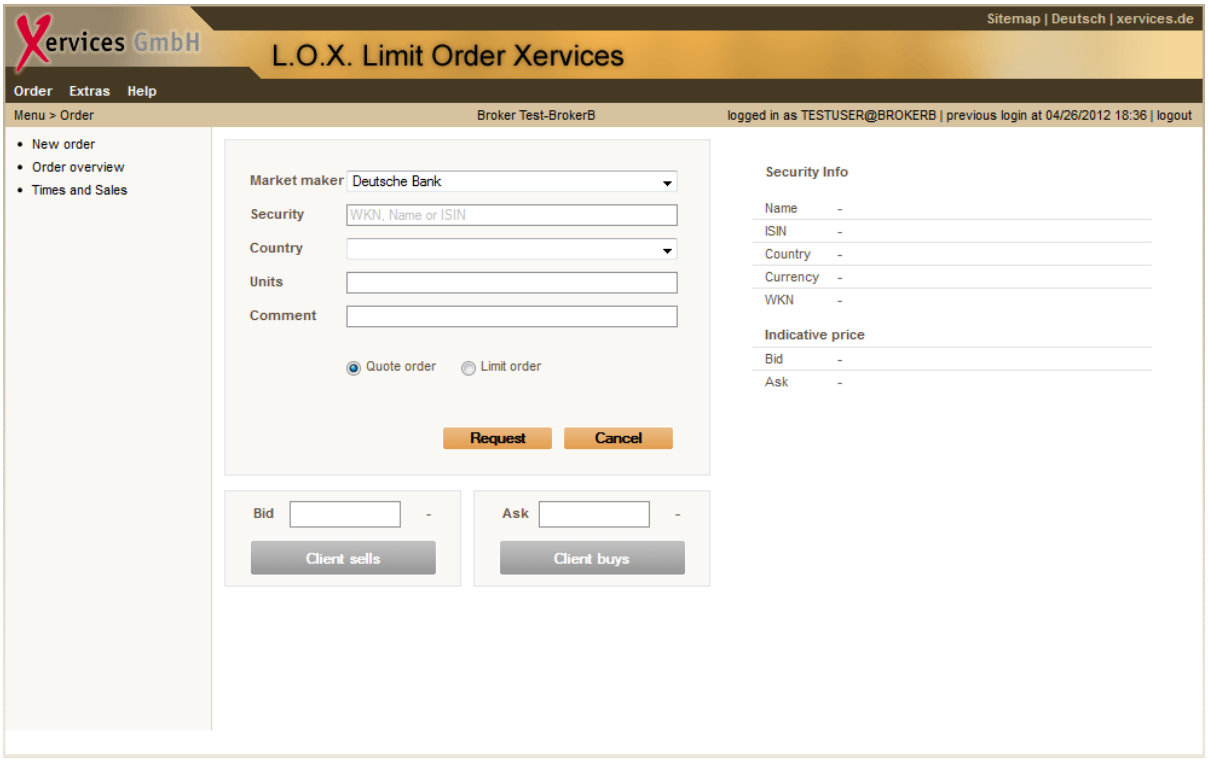
3. Afterwards please type in your password in the *password field*.
   The password will be hidden.



4. Click on Login.

If your login was successful, the *New Order* screen appears.



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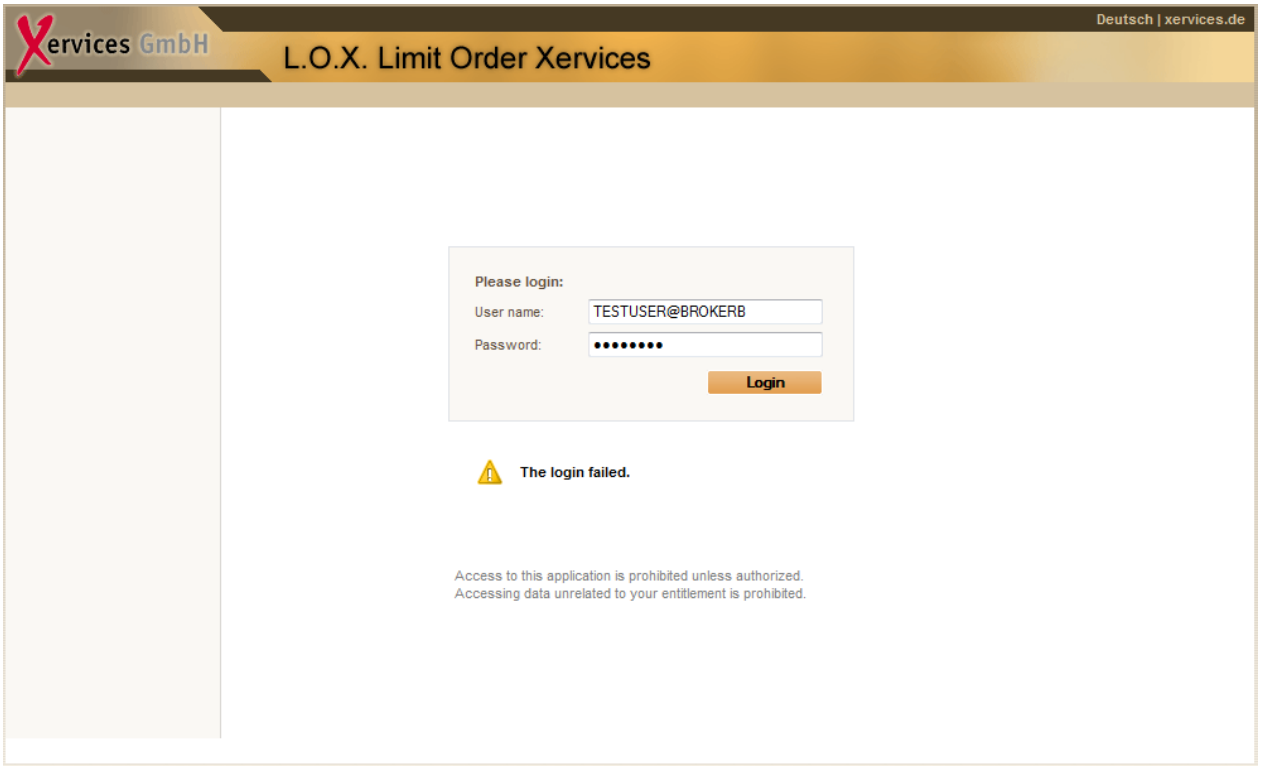
If the message *The login failed* appears please check your username and password and repeat steps 1-4.



Please be aware that your account will be blocked if your password is wrong **three times**. If this occurs, please contact the L.O.X. support team.

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8. Working with iLOX Web Frontend

By using the navigation bar it is possible to navigate to different screens.

The following screens are available:

Screen	Description
Order → New Order	In the New Order screen it is possible to enter Limit-Orders against the market makers Commerzbank and Deutsche Bank.
Order → Order overview	All orders are shown in the order overview of the broker. Here the user is able to view the status of his orders as well as change or delete them. Furthermore it is possible to assume the security, the transaction type or the volume into a new buy- or sell order.
Order → Times and Sales	In the Times and Sales screen it is possible to check quote progressions for a specific security up to 4 days retrospectively.
Extras	Change your login password.
Help	Contact details of the L.O.X. support team

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Navigation bar:

The following information is shown in the navigation bar:

Information	Explanation
Menu > Order	Current Menu
Broker Test-BrokerB	Connected to following broker
logged in as TESTUSER@BROKERB	Current user
previous login at 04/26/2012 18:36	Time horizon since your last login
logout	By using the logout button you are logged out

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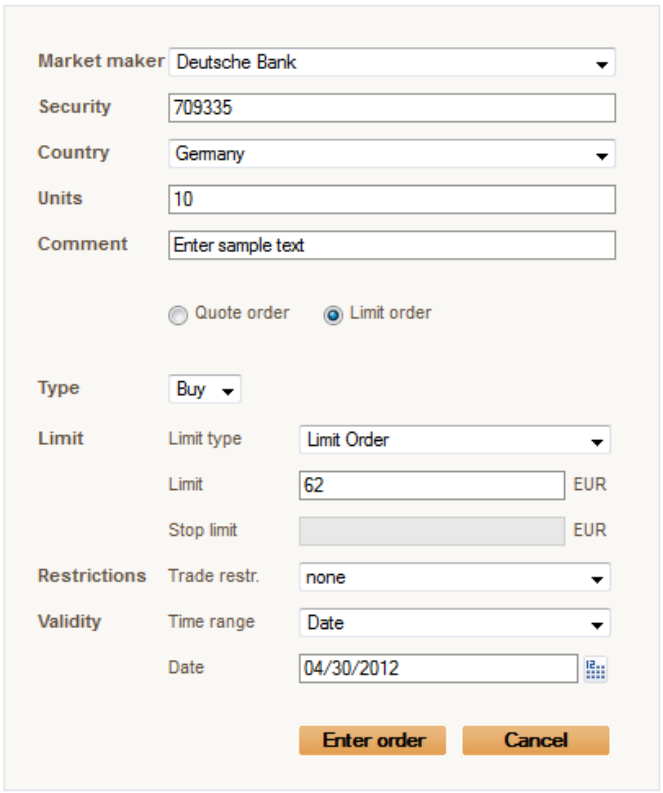
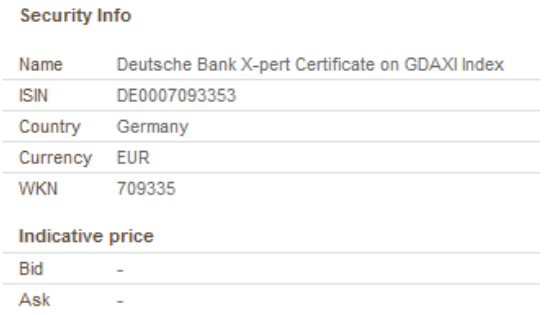
9. Description of the screen *New Order*

In the *New Order* screen it is possible to enter Limit-Orders against the market maker Commerzbank or Deutsche Bank. Entering Quote-Orders is not possible.





Enter orders:

1. Choose Market Maker
2. Enter the security identifier in the security box. Either the ISIN (International Securities Identification Number), the WKN or the name of the security can be chosen in order to identify the security. While writing ISIN, WKN or the name of the security, a drop-down menu, with suggestions to complete your entry is shown. After the selection of the security, information about the security and the indicative price will be shown on the right side.
3. If necessary choose a country.
4. In the input field *Units*, the desired amount can be specified.
5. In the comment box, a comment can be stored. The comment is displayed in the order overview and once set, cannot be changed.
6. Choose *Limit order*.

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First choose between *buy*- or *sell* transaction before setting to Limit Order type. Following that you must choose the type of limit.
It is not necessary to set a limit. If no limit is set the order is a market order. Moreover, there are other order types: Limit-Order, Stop-Market order and Stop-Limit order. Hence, for market and limit order there is the possibility to add the addition Fill or Kill.
The order can be set for one day validation or longer than that (max 90 days).

The Order is shown in the order overview.

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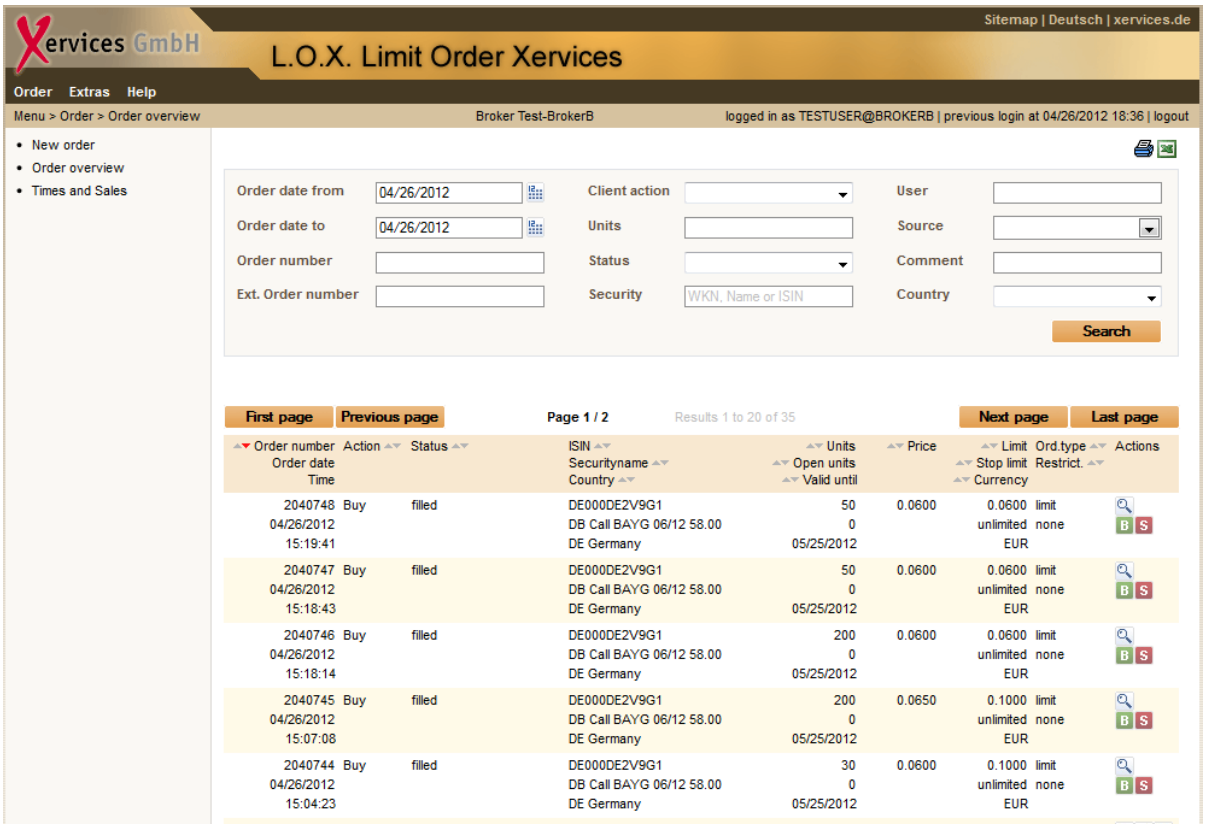
10. Description of the screen *Order Overview*

All orders of the broker will be shown in the order overview. It is possible to view the current orders and these orders may be changed, deleted or the order class, type and amount can be transformed in a new buy- or sell order.


Sitemap | Deutsch | xervices.de
L.O.X. Limit Order Xervices
Order Extras Help
Menu > Order > Order overview
Broker Test-BrokerB
logged in as TESTUSER@BROKERB | previous login at 04/26/2012 18:36 | logout
New order
Order overview
Times and Sales
Order date from 04/26/2012
Order date to 04/26/2012
Order number
Ext. Order number
Client action
Units
Status
Security WKN, Name or ISIN
User
Source
Comment
Country
Search
First page
Previous page
Page 1 / 2
Results 1 to 20 of 35
Next page
Last page
Order number Order date Time
Action
Status
ISIN Securityname Country
Units Open units Valid until
Price
Limit Stop limit Currency
Ord.type Restrict.
Actions
2040748 Buy filled DE000DE2V9G1 DB Call BAYG 06/12 58.00 DE Germany 50 0 05/25/2012 0.0600 0.0600 unlimited EUR limit none
04/26/2012 15:19:41
2040747 Buy filled DE000DE2V9G1 DB Call BAYG 06/12 58.00 DE Germany 50 0 05/25/2012 0.0600 0.0600 unlimited EUR limit none
04/26/2012 15:18:43
2040746 Buy filled DE000DE2V9G1 DB Call BAYG 06/12 58.00 DE Germany 200 0 05/25/2012 0.0600 0.0600 unlimited EUR limit none
04/26/2012 15:18:14
2040745 Buy filled DE000DE2V9G1 DB Call BAYG 06/12 58.00 DE Germany 200 0 05/25/2012 0.0650 0.1000 unlimited EUR limit none
04/26/2012 15:07:08
2040744 Buy filled DE000DE2V9G1 DB Call BAYG 06/12 58.00 DE Germany 30 0 05/25/2012 0.0600 0.1000 unlimited EUR limit none
04/26/2012 15:04:23

By using a filter in the *order overview* the amount of shown orders can be reduced. Information and status of the order can be checked.

Inputs have the following effect:

Input element	*Possible input*	*Effect on the overview*
Order date from	A valid date as TT.MM.JJJJ or MM/TT/JJJJ	Displays all orders that were entered in the corresponding period.
Order date to	A valid date as TT.MM.JJJJ or MM/TT/JJJJ	Displays all orders that were entered in the corresponding period.
Order number	Current order number	Displays the order with the corresponding order number.

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Ext. Order number	The external current order number	Displays the order with the corresponding order number.
Customer action	Buy / Sell transaction	Displays all buy and sell transactions.
Units	Number of ordered pieces	Displays all orders that are sent with the entered number of units.
Status	Select status via Drop-Down-Menü	Displays all orders with the selected order status.
Security	ISIN, WKN or Name	Displays all orders that are sent with the entered ISIN, WKN or Name.
User	Username	Displays all orders posted by the user.
Source	Origin of the order: Web, LOX, XOL	Displays all orders which have the same origin.
Comment	Free text	Displays all orders containing the entered comment.

Displayed information about the order:

The following overview explains the columns.

Column	*Explanation*
Order number	Current order number
Order date	Date of the setting of the order
Time	Timestamp of the order setting
Action	Buy / Sell transaction
Status	Current status of the order, e.g. open, running, expired
ISIN	*International Securities Identification Number*
Securityname	Name of the security
Country	National recognition
Units	Number of ordered units
Open units	Number of open units
Valid until	Validity of order
Price	Execution price in EUR
Limit	Limit of the order
Stop Limit	Stop-Limit of the order
Currency	Currency if the order
Ord. type	Displays order type (e.g. Limit, Market etc.)

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Restrict.	Displays order addition (FOK = Fill or Kill)
Actions	<table><tr><th>*Button*</th><th>*Action*</th></tr><tr><td> </td><td>Detailed information about this order (view / hide)</td></tr><tr><td> </td><td>Change order: Changing of an order is only possible so long as the order is not executed. It is possible to change *Stop-Limit, Limit, number of pieces and the validity of the order*. The order modification is logged in the system and is visible in the details of the order sheet.</td></tr><tr><td> </td><td>Delete Order. Deletion of an order is only possible as long as the order is not executed. After a successful deletion of the order the status of the order changes to *deleted by the user.*</td></tr><tr><td> </td><td>Set a buy order. Genus, order type and the number of pieces will be taken in the new buy order.</td></tr><tr><td> </td><td>Setting a sell order. Genus, order type and the number of pieces will be taken in the new sell order.</td></tr></table>

The view of the order list can be changed to print view. Furthermore, an export of the order list as csv file is possible. The buttons for these features are on the right side above the filter entry section.

	Change to print view
	Export data as csv file

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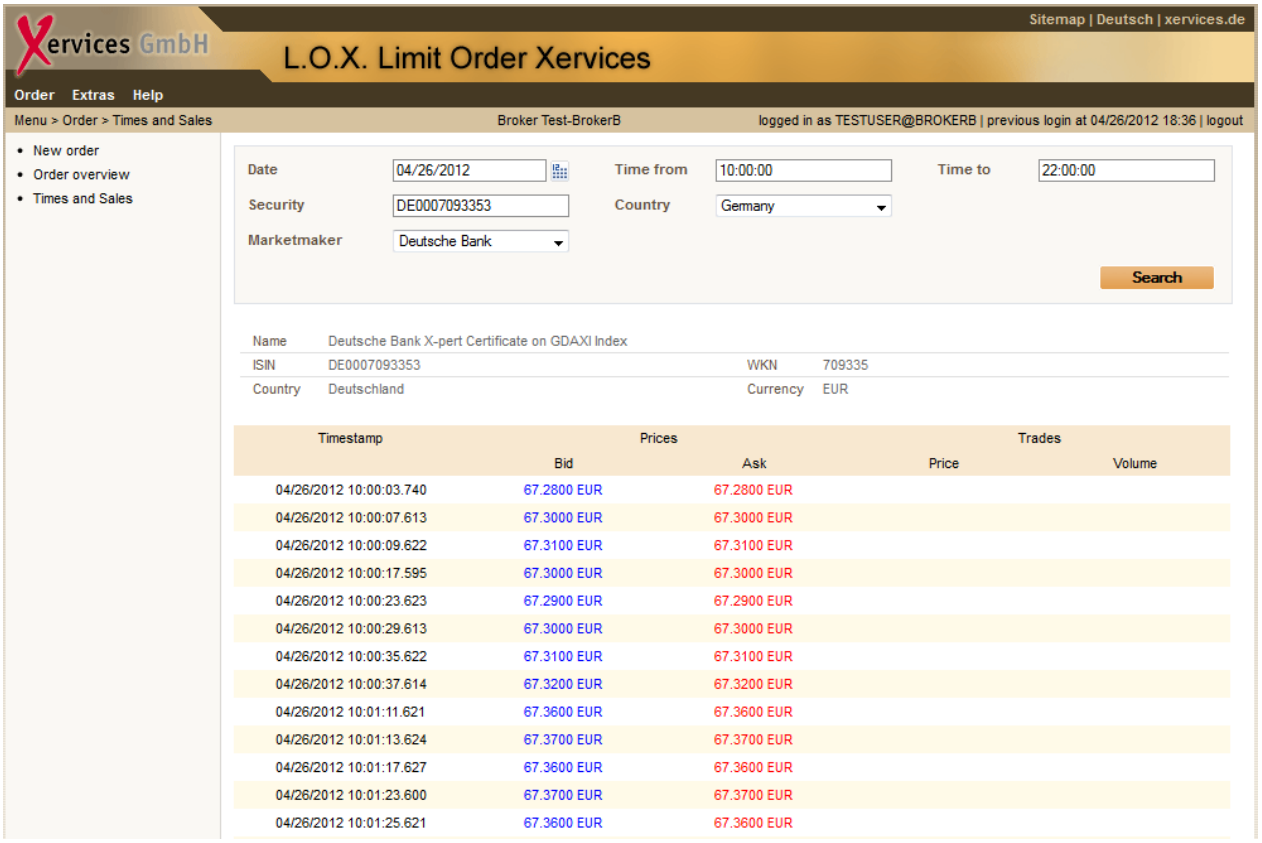
11. Description of the screen *Times and Sales*

In the Times and Sales screen it is possible to check quote progressions for a specific security up to 4 days retrospectively, sorted by date, time and market maker.



Starting a Times and Sales query:

1. Enter the security identifier in the security box. Either the ISIN (International Securities Identification Number) or the WKN of the security can be chosen in order to identify the security.
2. Choose a date and a specific time frame.
3. Start a query by pressing the search button.

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